

TOSHIBA

Green Procurement Guidelines

Toshiba Energy Systems & Solutions Corporation
Green Procurement Committee



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Committed to People,
Committed to the Future. **TOSHIBA**

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1. Foreword

"Committed to People, Committed to the Future." is the long standing Basic Commitment of the Toshiba Group, a statement that expresses our enduring credo to contribute to the development of society through our business. Since our founding, with the venture spirit that has inspired Toshiba for many generations, Our Purpose has been to combine the power of invention with our expertise and desire for a better world, to tackle increasingly complex and serious social issues, and to turn on the promise of a new day.

It is essential for Toshiba Group to contribute to resolving social issues, along with achieving the SDGs, with our highly reliable services and cutting-edge technologies, and further increase corporate value.

Based on this idea, in 2020, Toshiba Group has formulated "Environmental Future Vision 2050" as a new longterm vision from a global perspective that responds to such issues as decarbonization and the transition to a circular economy. With the goal of "contributing to the realization of a sustainable society through environmental management which aims to create enriched value and to ensure harmony with the earth," it aims to realize a sustainable society—in other words, a decarbonized society, a resource circulating society, and a society in harmony with nature— by promoting the implementation of initiatives in three areas: "response to climate change," "response to the circular economy," and "consideration of ecosystems".

Environmental management involves tackling various issues. We believe that we have a responsibility to perform a comprehensive assessment of the environmental impacts of our products throughout their life cycles and in every phase, from product manufacturing and usage through to recycling of end-of-life products. Toshiba Group is promoting green procurement as a measure during the manufacturing phase.

Green procurement involves procuring products, parts and components and materials, etc. with minimal environmental impacts from suppliers that vigorously promote environmental protection. To promote business in a way that reduces the environmental impacts and risks of hazardous chemical substances, activities encompassing the entire supply chain are necessary, for which the cooperation of suppliers, our business partners, is essential.

In our endeavours to achieve a sustainable society, we invite our suppliers to share our environmental goals and work hand in hand with us to make green procurement a resounding success.

2. The Toshiba Group's Basic Policy for the Environment

Toshiba Group holds environmental initiatives to be one of our top priority tasks in corporate management, guided by the "Essence of Toshiba." We will strive to create enriched value and ensure harmony with the earth for people around the world now and in the future. Through our environmental management that aims to achieve a decarbonized society, a resource circulating society, and a society in harmony with nature, we will contribute to the realization of a sustainable society and turn on the promise of a new day.

◆ Promoting environmental management harmonized with business operations

- Toshiba Group assesses the impacts of its business activities and products and services on the environment (including biodiversity), sets environmental impact reduction targets, and implements environmental activities.
- Toshiba Group continuously improves its environmental management through audits and activity reviews.
- Toshiba Group complies with all laws and regulations, industry guidelines it has endorsed, and its own standards on the environment.
- Toshiba Group further raises employees' environmental awareness, and the company as a whole makes efforts for environmental protection.
- Toshiba Group operates globally and promotes environmental activities throughout the Group accordingly.

◆ Reducing environmental impacts through business activities and offering environmentally conscious products and services

- Toshiba Group recognizes that natural resources are finite, and it implements vigorous environmental measures to promote their effective, practical use in terms of both business activities as well as products and services.
- Toshiba Group develops and provides environmentally conscious products and services that contribute to reducing environmental impacts throughout their life cycle.
- In all phases of activities – including the design, procurement, manufacturing, logistics, sales, and disposal phases – Toshiba Group implements measures to decrease environmental impacts, such as those for responding to climate change, effective resource use, and chemical management.

- Toshiba Group considers what value and meaning it can provide to society and strives to develop environmental technologies for the future in order to contribute to realizing a sustainable society.

◆ **Working together with stakeholders**

- Toshiba Group actively communicates with stakeholders, such as local communities and society, and promotes environmental activities in collaboration with them.

3. Objective of the Guidelines

In accordance with the Toshiba Group’s Basic Policy for the Environment, we are working to protect the environment by stressing the “creation of new value” and championing “symbiosis with the Earth” throughout our business processes and products. As part of these efforts, Toshiba develops and provides environmentally-aware products and services, which help reduce environmental impacts throughout their life cycles. Green procurement is essential for that purpose.

The Guidelines show The Toshiba Group’s Green Procurement Standards, a basic concept of the Group on green procurement, together with the specific contents of the Group’s requests to our suppliers concerning the supply of parts and components, materials, units, products, secondary materials, etc. (hereinafter collectively referred to as “supply items”).

The Toshiba Group is working with global environmental protection activities in cooperation with our suppliers through the procurement activities under the Green Procurement Standards described in the Guidelines.

4. The Toshiba Group’s Green Procurement Concepts

The Toshiba Group defines green procurement as procuring products, parts and materials with minimal environmental impact from suppliers that vigorously promote environmental protection. For that purpose, the Toshiba Group establishes the Group’s common Green Procurement Concepts, and promotes the Group’s green procurement as described below.

4.1 Construction of the Environmental Management System (EMS)

As part of its efforts to promote environmental management, the Toshiba Group has been operating and constructing its Environmental Management System (EMS) and encouraging the acquisition of ISO14001 certification.

By operating the Environmental Management System (EMS), we have requested suppliers to positively work on environmental activities including the construction of the Environmental Management System (EMS), and we will give business priority to suppliers that have already implemented the system.

4.2 The management of chemical substances in procurement items

The management of chemical substances in procurement items is implemented with emphasis on the agreement in the JAMP (*1), and in line with the “Guidelines on Chemical Substance Management in Products” issued by the JAMP.

*1: JAMP is an acronym for the Joint Article Management Promotion-consortium, a non-profit organization established in September 2006 to promote the construction of a system for the smooth disclosure and dissemination of information on chemical substances in products in the supply chain.

For details of its activities, please see the following URL:

JAMP URL : <http://www.jamp-info.com/>

4.3 The Toshiba Group Environment-Related Substance List

Toshiba Group has established “The Toshiba Group Environment-Related Substance List”, and manages chemical substances in procurement items by classifying them into the following two categories:

Table 1: The Toshiba Group Environment-Related Substance Classification

Category	Definition	Substances
Rank A (Prohibited Substances)	Substances whose presence is prohibited in procurement items (including packaging) in the Toshiba Group. Substances whose use in products (including packaging) is prohibited or restricted by domestic and foreign laws, and regulations.	See Table 2
Rank B (Controlled Substances)	Substances whose environmental impact should be reduced, based on their actual usage, via reduction of use and substitution, or recovery and detoxification in a closed system.	See Table 3

The Toshiba Group Environment-Related Substance List

Table 2: Rank A - Prohibited Substances

No.	Substances	Threshold of concentration to be prohibited in supplies to the Toshiba Group	Reference laws and regulations
A01	Asbestos	Prohibition of intentional addition	EU REACH Regulation (Annex XVII), JPN Industrial Safety and Health Law (Prohibition of Manufacturing)
A02	Certain azocolourants and azodyes (only those that may release certain amines)	Prohibition of intentional addition, and 30ppm for each generated certain Amine	EU REACH Regulation (Annex XVII)
A03	Cadmium and cadmium compounds	100 ppm (*1, *2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A04	Hexavalent chromium compounds	1000 ppm (*1, *2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A05	Lead and lead compounds	1000 ppm (*1, *2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A06	Mercury and mercury compounds	1000 ppm (*1, *2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A07	Ozone-depleting substances (CFCs, HCFCs, HBFCs, carbon tetrachloride, etc.)	Prohibition of intentional addition	Montreal Protocol, JPN Ozone Layer Protection Law
A08	Polybrominated biphenyls (PBBs)	1000 ppm (*1)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A09	Polybrominated diphenylethers (PBDEs)	Prohibition of intentional addition 1000 ppm (*1)	EU RoHS Directive, JPN CSCL (Class 1) (*6) PBT Chemicals under TSCA Section 6(h) (*7)
A10	Polychlorinated biphenyls (PCBs)	Prohibition of intentional addition	EU REACH Regulation (Annex XVII), JPN CSCL (Class 1) (*6)
A11	Polychlorinated naphthalenes (more than 2 chlorine atoms)	Prohibition of intentional addition	POPs Convention (Annex A), JPN CSCL (Class 1) (*6)
A12	Radioactive substances	Prohibition of intentional addition	JPN Act on Prevention of Radiation Hazards due to Radioisotopes, etc JPN Nuclear Reactor Regulation Law
A13	Certain short chain chlorinated paraffins (with a carbon chain length of between 10 and 13)	Prohibition of intentional addition, and 1000ppm	POPs Convention (Annex A), EU REACH Regulation (Annex XVII), JPN CSCL (Class 1) (*6)
A14	Tributyl tin (TBT) and triphenyl tin (TPT)	Prohibition of intentional addition, and 1000ppm of tin in the part (*3)	EU REACH Regulation (Annex XVII)
A15	Tributyl tin oxide (TBTO)	Prohibition of intentional addition, and 1000ppm of tin in the part (*3)	EU REACH Regulation (Annex XVII), JPN CSCL (Class 1) (*6)
A16	(deleted)		
A17	(deleted)		
A18	(deleted)		

No.	Substances	Threshold of concentration to be prohibited in supplies to the Toshiba Group	Reference laws and regulations
A19	(deleted)		
A20	(deleted)		
A21	(deleted)		
A22	(deleted)		
A23	(deleted)		
A24	(deleted)		
A25	(deleted)		
A26	(deleted)		
A27	(deleted)		
A28	(deleted)		
A29	(deleted)		
A30	(deleted)		
A31	(deleted)		
A32	(deleted)		
A33	2-(2H-1,2,3-benzotriazol-2-yl)-4,6-di-tert-butylphenol	Prohibition of intentional addition, and 1000ppm	JPN CSCL (Class 1) (*6) EU REACH Regulation (Annex XVII)
A34	(deleted)		
A35	(deleted)		
A36	(deleted)		
A37	Perfluoro(octane-1-sulfonic acid) (also known as PFOS) or its salts	Prohibition of intentional addition, and 1000ppm (in the case of coated material, 1 microgram/m ²)	POPs Convention (Annex B), JPN CSCL (Class 1) (*6)
A38	Perfluoro(octane-1-sulfonyl) fluoride (also known as PFOSF)	Prohibition of intentional addition	POPs Convention (Annex B), JPN CSCL (Class 1) (*6)
A39	Polychlorinated terphenyls (PCTs)	50ppm	EU REACH Regulation (Annex XVII)
A40	Tri-substituted organostannic compounds (excluding A14 and A15)	Prohibition of intentional Addition, and 1000 ppm of tin in the part (*3)	EU REACH Regulation (Annex XVII)
A41	Dimethyl fumarate (DMF)	0.1ppm	EU REACH Regulation (Annex XVII)
A42	(deleted)		
A43	(deleted)		
A44	(deleted)		
A45	(deleted)		
A46	(deleted)		
A47	Dioctyltin compounds (DOT)	Prohibition of intentional addition, and 1000 ppm of tin in the part (*3, *4)	EU REACH Regulation (Annex XVII)
A48	Dibutyltin compounds (DBT)	Prohibition of intentional addition, and 1000 ppm of tin in the part (*3, *4)	EU REACH Regulation (Annex XVII)
A49	(deleted)		
A50	Hexabromocyclododecane (HBCD)	Prohibition of intentional addition, and 100ppm	POPs Convention (Annex A), JPN CSCL (Class 1) (*6)
A51	Certain polycyclic aromatic hydrocarbons (PAHs)	1 ppm (*4)	EU REACH Regulation (Annex XVII)
A52	Bis (2-ethylhexyl) phthalate (DEHP)	1000 ppm (*5)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A53	Dibutyl phthalate (DBP)	1000 ppm (*5)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A54	Butyl benzyl phthalate (BBP)	1000 ppm (*5)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A55	Diisobutyl phthalate (DIBP)	1000 ppm (*5)	EU RoHS Directive, EU REACH Regulation (Annex XVII)

No.	Substances	Threshold of concentration to be prohibited in supplies to the Toshiba Group	Reference laws and regulations
A56	Phenol, Isopropylated Phosphate (3:1) (PIP 3:1)	Prohibition of intentional addition	PBT Chemicals under TSCA Section 6(h) (*7)

“Intentional addition” means using chemical substances intentionally in forming supply items to bring about specific properties, appearance or quality.

- (*1) The denominator when calculating a threshold value shall be for each homogeneous material. The threshold concentration of metal compound is the mass ratio of metal element to homogeneous material. For example, in the case of cadmium and its compounds, it is the concentration of cadmium element. Only applications exempt from the EU RoHS Directive (hereinafter RoHS) shall be exempt from the prohibition (including exemption applications accepted in future).
- (*2) For packaging materials, the threshold of concentration to be prohibited shall be 100 ppm by weight for a total of four materials (cadmium and its compounds, hexavalent chromium compounds, lead and its compounds, and mercury and its compounds) for each homogeneous material composing the package. The threshold concentration of metal compound is the mass ratio of metal element to homogeneous material. For example, in the case of cadmium and its compounds, it is the concentration of cadmium element.
- (*3) The numerator when calculating a threshold value shall be an equivalent for metallic tin (Sn), and the denominator shall be for each molded item or its component (including mixtures only for DBT).
- (*4) It applies to applications and substances specified in Annex XVII of the EU REACH Regulations. However, only applications for which exemptions and their time limits have been specified in Annex XVII of the EU REACH Regulations shall be exempt from the prohibition of use.
- (*5) The denominator when calculating a threshold value shall be for each homogeneous material. The applications that are out of scope of RoHS or are in scope of RoHS but have not yet been banned by RoHS or are exempted from RoHS shall be exempt from this regulation. (including exemption applications accepted in future).
- (*6) CSCL: Chemical Substances Control Law of Japan
- (*7) Persistent, Bioaccumulative, and Toxic (PBT) Chemicals under Toxic Substances Control Act (TSCA) Section 6(h) by Environmental Protection Agency (EPA)

Table3: Rank B - Controlled Substances

No.	Substances
B01	Antimony and its compounds
B02	Arsenic and its compounds (excluding compounds specified in (B12))
B03	Beryllium and its compounds
B04	Brominated flame retardants, other than PBBs (A08) and PBDEs (A09)
B05	Nickel and its compounds (only parts in contact with the human body)
B06	Phthalic esters (excluding DEHP (A52), DBP (A53), BBP (A54), DIBP (A55) and the phthalic esters specified in (B12))
B07	Polyvinylchloride and its compounds (PVC)
B08	Selenium and its compounds
B09	Perfluorocarbons (PFCs)
B10	Hydrofluorocarbons (HFCs)
B11	Sulfur hexafluoride (SF6)
B12	Substances of Very High Concern (SVHC) under the EU REACH Regulations (*7)
B13	(deleted)
B14	Five substances of PBT Chemicals under TSCA Section 6(h) (*8) except A09 and A56 of Table 2

- (*7) Substances of Very High Concern (SVHC) selected under the procedures specified in the Article 59 of the EU REACH Regulations. The denominator shall be the total mass of a supply item or each component/material.
- (*8) Persistent, Bioaccumulative, and Toxic (PBT) Chemicals under Toxic Substances Control Act (TSCA) Section 6(h) by Environmental Protection Agency (EPA)

5. Requests to Suppliers

To promote green procurement, we have requested suppliers, our business partners, to “promote environmental protection by suppliers,” “supply environmentally friendly products, parts and materials, “conclude agreements for securing environmental quality of procurement items”, and “cooperate in various surveys”. We request suppliers to understand our requests and survey objectives, and cooperate with us.

5.1 Promotion of environmental protection by suppliers

We request our suppliers to work diligently on environmental protection (establishment of environmental policy, implementation of system, provision of training and education, etc.).

5.2 Supply of environmentally friendly products, parts and materials

Suppliers from whom we receive items are requested to implement thorough management of chemical substances in products, including the following actions:

- (1) Establishment of management system for chemical substances in products.
Please refer to “Guidelines on Chemical Substances Management in Products” issued by JAMP.
- (2) Procurement of environmentally friendly parts, components and materials (green procurement), including a reduction in the use of hazardous chemical substances.
- (3) Response to Toshiba Group’s surveys on the usage of environment-related substances.

Notice: Documents submitted by suppliers and information contained therein may be disclosed to our group companies related to the procurement items, or to our customers upon their request.

Appendix: “Guidelines on Chemical Substance Management in Products” issued by JAMP summarizes the main points for an organization regarding the management of chemical substances in products so that information on such chemical substances can be appropriately and surely shared with the whole supply chain. (Suppliers need to consider, practice, and continuously improve and maintain their own appropriate management method that can respond to a risk since the optimum management method varies depending on products, processes, business categories, and so on).

5.3 Conclusion of agreements for assuring environmental quality of procurement items

To ensure the environmental quality of procurement items, we request each supplier to conclude a “Quality Assurance Agreement” prior to a procurement transaction. In addition, we may request a supplier to submit an “Agreement Concerning the Restriction of the Use of Specified Hazardous Substances” and other items as necessary.

5.4 Precautions on use of the Guidelines

The Guidelines (Green Procurement Guidelines) include a reference to laws and regulations, and to their regulatory limits regarding some materials in the lists, but please do not use the reference for the purpose of compliance.

In addition, although the Guidelines provide advisable methods of use regarding materials and chemical substances and some examples of legal regulations and prohibitions, those examples are for reference purposes only, and they do not comprehensively cover all methods of use, regulations, and prohibitions. For individual compliance matters, please observe the relevant laws and regulations.

We bear no responsibility and makes no warranty with respect to use of the Guidelines that does not conform to the stated objective.

Even though materials and chemical substances are listed in the Guidelines, the listing does not intend to suggest or denote any judgment concerning their impact on the environment or health.

6. Survey Procedures

6.1 Survey on suppliers' environmental protection activities

To strengthen partnerships with suppliers that work diligently on environmental protection activities, we conduct surveys on such activities. The survey is conducted mainly on the following items by using "[Form1] Environmental Protection Evaluation List".

< Survey items >

- (1) The supplier has obtained or has a plan to obtain ISO 14001 certification. Or, the supplier has obtained or has a plan to obtain an environment management system certification other than ISO 14001 such as "Eco-Action 21"(*).
(*)"Eco-Action21" (<http://www.ea21.jp/ea21/>) is a system based on a guideline about the environmental management system, measures, and reports that are defined by the Ministry of Environment.
- (2) Items related to green procurement activities
 - The supplier understands the content of Green Procurement Guidelines, and has responded to the requirements.
 - The supplier has worked on biodiversity protection, supporting the purpose of "Basic Act on Biodiversity (Act No. 58 of June 6, 2008)", and making efforts toward improvement of environmental impacts such as energy consumption.
 - The supplier has implemented green procurement activities. They have given priority to business with clients who are engaged in environmental protection activities, and have also given priority to procurement items that are environmentally friendly.
- (3) Management system for chemical substances in products
 - Based on environmental laws, regulations and customer requests such as abolition term, the supplier has documented the aims, and abolition, reduction and substitution plans for the management of prohibited and controlled substances, and it has also promoted the activities.
 - The supplier has built and operated a mechanism that performs collection, transfer, management and direction of information regarding environment-related substances.
- (4) For environmental protection activities, the supplier has worked diligently on the following 23 items.
 1. The supplier has a corporate philosophy regarding environmental protection.
 2. The supplier has a basic environmental policy which specifies the fundamental direction of environmental protection activities.
 3. The supplier has established an environmental policy, and is committed to continuous improvement and pollution prevention.
 4. The supplier is committed to complying with laws and regulations through environmental policy.
 5. The environmental policy has been documented, has been publicized to all employees, and is available to the general public.
 6. The supplier has reviewed the environmental policy periodically.
 7. The supplier has purposes and aims regarding the environment, and they have been documented.
 8. The supplier has established an action plan that defines responsibility, means, and schedules for achieving the purposes and aims.
 9. The supplier has defined an organization, persons in charge, their roles and authority for achieving the purposes and aims.
 10. The supplier evaluates and manages environmental impacts for air pollution, and makes efforts toward improvement.
 11. The supplier evaluates and manages environmental impacts for water pollution, and makes efforts toward improvement.
 12. The supplier evaluates and manages environmental impacts for waste, and makes efforts toward improvement.
 13. The supplier evaluates and manages environmental impacts for resource consumption, and makes efforts toward improvement.
 14. The supplier evaluates and manages environmental impacts for energy consumption, and makes efforts toward improvement.
 15. The supplier evaluates and manages environmental impacts for odor, noise and vibration, and makes efforts toward improvement.
 16. The supplier has actively engaged in improvement of delivery packing, reuse or recycling of packing, and efficiency improvement in transportation.
 17. The supplier has a product assessment mechanism.
 18. The supplier has an emergency mechanism.
 19. The supplier has a procedure for corrective and preventive measures to cope with non-conformance.
 20. The supplier has an internal audit mechanism concerning the environment.

21. The supplier provides environmental education and training.
22. The supplier provides separate and appropriate education and training for those engaged in work that could have a major impact on the environment, and also controls their participation.
23. The supplier makes the information on its environmental protection open to the public.

Notice: When conducting specific surveys, additional evaluation items may be requested.

<Selection Criteria>

In selecting a supplier, we evaluate supplier’s environmental protection activities with respect to each office, factory, or manufacturer depending on its business category, in addition to quality (Q), cost (C), delivery (D), and Service (S). We rank total evaluation scores for the above evaluation items, and give priority to procurement from suppliers whose evaluation rank is S or A.

Table 4: Evaluation Rank of Environmental Protection Activities

Rank	Total Evaluation Score	Evaluation	Selection Criteria
S	170 points, or the supplier has obtained or has a plan to obtain external certification. (*)	Excellent	Priority procurement
A	155 to less than 170 points	Good	
B	100 to less than 155 points	Improvement required	Subject to improvement requests and guidance support.
C	50 to less than 100 points		
D	Less than 50 points		

(*) In case of having a plan, the certification has to be obtained within one year, and the certification authority has to be already decided.

6.2 Surveys on suppliers’ chemical substance management system

We may conduct surveys on suppliers’ chemical substance management systems to encourage them to establish and maintain their management system for chemical substances in products.

< Survey items >

The survey is conducted by using “Guidelines on Chemical Substances Management in Products - list and check sheet” issued by JAMP in accordance with the same audit as quality control status check.

6.3 Surveys on chemical substances in procurement items

To approve new procurement items or judge whether the existing procurement items need substitution, we conduct surveys on the presence of chemical substances in procurement items. The survey details may vary depending on models and need for supply items. The main survey items are as follows:

(Table 5 is used as the survey forms specified in the Guidelines.)

Notice: The survey may be requested with different forms by our business divisions or operations. In such a case, we will provide additional submission and filling instructions for the differences from this Guideline respectively.

< Survey items >

- (1) Confirmation of EU RoHS Directive compliance regarding environment-related substances.
- (2) Confirmation of “Section 4.3 Environment-related Substances [Rank A - Prohibited substances][Rank B - Controlled substances]” in the Guidelines regarding environment-related substances.
- (3) Confirmation of use/non-use of Substances of Very High Concern (SVHC,*1) under the REACH Regulations as listed in “Section 4.3 ”Environment-related Substances [Rank B – Controlled substances]” in the Guideline.
- (4) Survey on the content of chemical substances under EU REACH Regulations (MSDSplus, AIS form(*2) and others)
- (5) Survey on the analysis and evaluation result.

Table 5 Form and Scope of Survey

No.	Form	Name	Scope of Survey
1	Form 5-1	Use/Non-use Declaration of Environment-related Substances (substance addition version)	RoHS Directive restricted substances ... 10 items (Note1)
	Form 5-2	Save as above Additional Item List	
2	Form 3-1	Survey on Environment-related Substances (restricted substances other than RoHS Directive/ controlled substances)	RoHS Directive restricted substances and SVHC under REACH Regulations — Prohibited substances/controlled substances excluding (*3) in the separate list
	Form 3-2	Save as above Additional Item List	
3	Form 4-1	Report on the Presence of REACH SVHC	SVHC under REACH Regulations — (*3) in the separate list
	Form 4-2	List of Products Containing REACH SVHC	

Note 1: Form 5 for substance addition version (A52 to A55 in Table2, phthalate ester (DEHP, BBP, DBP, DIBP)) was added by this revision. It uses together with Form 2.

Excel files for the above Declaration/Survey/Report will be posted at the following URL as a separate list.

Declaration URL : https://www.toshiba-energy.com/en/env/file/rohs_en_01-2.xls

Survey URL : https://www.toshiba-energy.com/en/env/file/rohs-others_en_02-1.xls

Report URL : https://www.toshiba-energy.com/en/env/file/svhc_en_03-1.xls

File sheet description:

No.1 includes “[Attached List -1] Exemption (Attachment III)”, “[Attached List -2] Exemption (Attachment IV)” and Revision History in addition to the above “[Form 5-1] Declaration” and “[Form 5-2] Additional Item List”.

No.2 includes “[Attached List -1] Prohibited Substances”, “[Attached List - 2] Controlled Substances” and Revision History in addition to the above “[Form 3-1] Survey” and “[Form 3-2] Additional Item List”.

No. 3 includes “List of Products Containing SVHC (Entry Example)” in addition to the above “[Form 4-1] Report on the Presence of SVHC” and “[Form 4-2] List of Products Containing SVHC.”

(*1) Substances of Very High Concern (SVHC) are those which fall under Article 57 of the EU REACH Regulations, and have been selected as substances subject to authorization in accordance with the procedures of Article 59.

(*2) MSDSPlus and AIS (Article Information Sheet) are basic information sheets recommended by JAMP to transfer information about chemical substances in products.

(*3) Since items of SVHC under EU Regulations may be added as necessary, the SVHC list is provided as a separate list. Please refer to the following URL for the SVHC list:

URL: https://www.toshiba-energy.com/en/env/file/svhc_en_03-2.pdf

6.3.1 Submission instructions for Declaration/Survey

(1) Sending of Declaration

Our research department will send you a Use/Non-use Declaration by e-mail for every model of parts and other items.

(2) Survey on restricted chemical substances

Survey on restricted chemical substances for target items

(3) Submission of response documents

Please give us a reply according to the method requested by our research department.

Notes:

1. Please respond by the specified deadline to enable us to examine parts replacement or adaption of new parts.
2. In cases where no response is received by the specified deadline, continued use or new use may not be possible. When there is any special reason for a delay in responding, please contact us.
3. Response documents should be basically submitted per our purchasing unit (that is, every parts code). However, for finished products, units, etc., we may request a response per component part.
4. When impropriety is found in the survey results and we incur any damage due to the impropriety, we may claim compensation for the damage.
5. If a survey request is issued to a discontinued item or an item to be discontinued (an item for which discontinuation has been decided), please fill in the Discontinued column along with the response details.

6.3.2 Filling instructions for Declaration/Survey

Please fill in "Use/No-use Declaration of Environment-related Substances (substance addition version) [Form 5-1]" and "Survey on Environment-related Substances (restricted substances other than RoHS Directive/controlled substances) [Form 3-1]" with the following instructions.

(1) Common instructions for [Form 5-1] and [Form 3-1]

1. When filling out the form

- Please complete the survey form by your company or by manufacturers of parts, units or materials as far as possible.
- When there are more than one manufacturing base or supply route for the survey items, please reply so that they are all covered. If the response information differs according to the manufacturing base or supply route, please give us a reply for the worst case.

2. Company name and Respondent column

- Please enter official company name, not an abbreviation.
- Please enter department, title, name, telephone number, E-mail address of the person who fills in the data [This will be used as contact information if we have any questions about the reply details].

3. Response date and Responsible person column

- For Response date, please use the Western calendar.
- Please enter company name, department name, title, name and E-mail address of the person who is responsible for the response.
- Please enter company name, department name and title in the Responsible person column even if the respondent and the responsible person are the same.
- Please append a company seal, or a department seal of the responsible person.

4. Remarks column

- Please specify if you have any substitute which does not contain chemical substances, and also fill in the release time, etc. of such substitute. If you cannot fit all the information in the column, please attach an additional sheet (the substitute information will be used for examining use after confirming the procurement track records).
- You can enter supplementary information in the Comments column for each chemical substance or explanation of the following 5.

5. Discontinued column/Discontinued Date (Plan) column

- If the target item has been discontinued or the discontinuation date has been already fixed, please enter an “O” mark in the Discontinued column, and specify the year, month and date of the discontinuation (Please fill in the Presence of substance column even if the item is discontinued).

(2) [Form5-1]

1. “1. Target Item” column

- Please use separate Declaration forms when the content of “2. Response column” differs even if they are in the same series.
- Parts code/Supplier parts code column is filled in at our company, if any, but the entry may be requested for the attached list, etc. In addition, there is a case where the Parts code is not yet determined for the parts before use.
- In the case of parts and units, please enter product name, manufacturer name, manufacturer model number and series name in each column.
In the case of materials such as resin, paint and ink, please enter information that can identify the target item in the manufacturer model number and series name fields.
- When you cannot fit all the target items in the designated column, please fill in the separate sheet “[Form 5-2] Additional Item List” and attach it. In this case, please enter the total number of pages in the “Additional item list attached” column of “[Form 5-1].”

2. “2. Response column”

- For Presence of substance, please select “Yes” when an item includes a part that exceeds the threshold limit value, regardless of whether it is added intentionally or otherwise (the threshold limit values are shown in Appendix 1 below).
- Please select either “Yes” or “No” in each Presence of substance column, and select “Conformity” or “Non-conformity” in the RoHS Directive conformity determination column.
[“Yes” and “Non-conformity” are initially set].
- Please fill in Concentration*1 (ppm), Comments, and Remarks as far as possible, although they are not mandatory when any substance exists.
- In the case of RoHS Directive exemption, please select “Exemption number or impurities” in the Comment column, and enter details such as parts containing substances and usage. Please refer to “[Attached List -1] Exemption (Attachment III)” and “[Attached List -2] Exemption (Attachment IV)”.
- Please refer to Supplement 2 below for examples of entry about parts containing substances and purpose of use in the Comments column.
- For discontinued or soon-to-be discontinued (already decided to be discontinued) items, please enter an “O” mark in the Discontinued column, and enter the discontinuation date (or planned discontinued date) in the Discontinued date (plan) column.
(Even in the case of discontinued items, please reply about their substance inclusion as far as possible. Please enter “Non-conformity” in the RoHS Directive conformity determination column when unclear).
- If you cannot give us a reply, please contact the person requesting the survey separately.

Appendix 1: Threshold Limits

The threshold limits of specified hazardous substance concentration are listed in Table 6.

Please determine whether substances are subject to the RoHS Directive by using the threshold values below, regardless of whether or not the contained substances have been intentionally added. The concentration of specified hazardous substances means the content rate of specified hazardous substances in homogeneous materials such as products or parts (the “homogeneous materials” refer to materials that are uniform in composition and mechanically inseparable. Please note that separate judgments are necessary for an electronic part, and solder or steel and paint, because solder or paint can be separated from an electronic part or steel).

Table 6 Specified Hazardous Substances Subject to RoHS Directive and Threshold Limits

No.	Specified Hazardous Substances (* Includes metal compounds)	Threshold limit (Percentage by weight *1)	(ppm)
1	Cadmium/cadmium compounds*	0.01	100
2	Hexavalent chromium compounds*	0.1	1000
3	Mercury/mercury compounds*	0.1	1000
4	Lead/lead compounds*	0.1	1000
5	Polybrominated biphenyls (PBBs)	0.1	1000
6	Polybrominated diphenylethers (PBDEs)	0.1	1000
7	Bis (2-ethylhexyl) phthalate (DEHP)	0.1	1000
8	Dibutyl phthalate (DBP)	0.1	1000
9	Butyl benzyl phthalate (BBP)	0.1	1000
10	Diisobutyl phthalate (DIBP)	0.1	1000

Note 1: By this revision, it added for RoHS Directive addition substance. (A52 to A55 in Table2, phthalate ester (DEHP, BBP, DBP, DIBP))

*1 Percentage by weight = Weight of contained substance / Weight of raw material

Example: Lead concentration (percentage by weight) = Weight of lead contained in solder / Weight of solder

As shown in the above table, ordinary percentage by weight of 0.1% is treated as 1,000 ppm. When specific instructions concerning the EU RoHS (Restriction on the Use of Certain Hazardous Substances in Electrical and Electronic Equipment) Directive are issued in accordance with laws, regulations, etc., we will comply with the said laws and regulations.

Appendix 2: Examples of entry of parts containing substances and purpose of use

[Contained part]

The term “parts containing substances” refers to a component area of parts that contains specified hazardous substances.

Please reply by using general names such as the names indicated on specifications and drawings, or the internal names at the supplier. In addition, when the same substance is contained in two or more parts, please enter the information respectively in multiple lines provided for each substance. Please enter information for the main parts if you cannot fit them all in. In this case, please indicate in the Comment or Remarks column that there are some other parts that have not been listed on the form. The following are examples of a part.

< Examples of a part >

- When a survey item is a single electronic part, an article that is listed on the block diagram, component materials list and other items is assumed to be a part.
 - Example 1: Ceramic material, internal electrode material, and external electrode material in a multi-layer ceramic capacitor
 - Example 2: Lead wires, electrolysis solution, sealing material, and electrode foil in an electrolytic capacitor
 - Example 3: Rubber contacts and springs in a switch and the plastic cover
- When a survey item is a system component or unit (such as a device or assembled electronic part), a part refers to an individual part recorded on the part's (device's) block diagram or parts list.
 - Examples: printed board, solder for use in assembly

[Purpose of Use]

Please briefly fill in the purpose of contained chemical substances and the intention for using them.

Example 1: Stabilizer, elasticizer, adhesive, fire retardant, anticorrosive, solder component

Example 2: Key ingredient, heat stability improvement, electrical property improvement, mechanical property improvement

Example 3: Impurity (when it is clear that the substance is not contained intentionally)

(3) [Form 3-1]

1. “1. Target Item” column

- Please use separate Survey forms when the content of “2. Response column” differs even if they are in the same series.
- Parts code/Supplier parts code column is filled in at our company, if any, but the entry may be requested for the attached list, etc. In addition, there is a case where the Parts code has not yet been determined for the parts before use.

- In the case of parts and units, please enter product name, manufacturer name, manufacturer model number and series name in each column.
In the case of materials such as resin, paint and ink, please enter information that can identify the target items in the manufacturer model number and series name fields.
- Please choose the unit of a product from “piece/g/kg/mm/m/cm²/ m²/ cc/l (liter) or m³” in the survey.
- For product weight, please enter weight per the above unit.
- When you cannot fit all the target items in the designated column, please fill in the separate sheet “[Form 3-2] Additional Item List” and attach it. In this case, please enter the total number of pages in the “Additional item list attached” column of “[Form 3-1].”

2. “2. Response” column

- For prohibited substances A01 to A05 and A52 to A55, please select either “Yes” or “No” in the Presence of substance column.
For other prohibited substances (other than RoHS restricted substances), please fill in the corresponding number and substance name from “[Attached List -1] Prohibited Substances”, and select “Yes” in the Presence of substance column.
When no substance is contained, please delete “Yes”. When any substance is contained, please fill in concentration, parts containing substances and purpose of use.
- For the controlled substances B01, 04 and 07, please select either “Yes” or “No” in the Presence of substance column.
 - For discontinued or soon-to-be discontinued (already determined to be discontinued) parts, please enter an “O” mark in the Discontinued column, and enter the discontinuation date (or planned discontinuation date) in the Discontinuation date (plan) column.
(Even in the case of a discontinued item, please reply about substance inclusion, etc., as far as possible. When unknown, please leave the initial setting “Yes” in the Presence of substance column, and write down a reason in the Remarks column”).
- If you cannot give us a reply, please contact the person requesting the survey separately.

6.3.3 Submission/filling instructions for SVHC Report

Please submit “Report on the Presence of REACH SVHC [Form 4-1]” and “List of Products Containing REACH SVHC [Form 4-1]” with the following instructions.

(1) Request for submission of the report

Our research department will send you a request for a report by e-mail, etc. periodically (at least once per year). We may sometimes ask you for an additional report by specifying particular parts due to (a response to additional SVHC) or an occasional request from customers.

(2) Survey on the presence of SVHC

We ask you to do a survey on the presence of newly added SVHC to control the chemical substances contained in your products.

(3) Submission of the report

Please give us the following information after the survey.

1. There is no intentional inclusion or known inclusion in all your products.
Fill in the (1) Supplier Information column, and select No. 1 for the (2) Presence of Products Containing SVHC column in “[Form 4-1] Report on the Presence of REACH SVHC.”
(Note) Since No. 2 (i.e., the inclusion is present) is initially set, be sure to change the selection.
2. There is intentional inclusion or known inclusion in your products.
Fill in the (1) Customer Information column, and confirm that No. 2 is selected for the (2) Presence of Products Containing SVHC column in “[Form 4-1] Report on the Presence of REACH SVHC.”
Please provide us the information specified in the (3) SVHC Information column by one of the following methods:
 - Reply with the form provided by JAMP. Refer to Section 4.2.
 - Reply by using “[Form 4-2] List of Products Containing REACH SVHC.” In this case, please use the entry example as a guide for entry.

Attachments

[Form 1] Environmental Protection Evaluation List

Enter information in the bold boxes.

	Supplier code				
Company name				Date of issue (YYYY/MM/DD)	
Location				Approver	Seal
Head office address				(Title and name)	
Business category	Manufacturer		Trading company (Note1)	E-mail address	
	Other			Evaluator	Seal
Telephone				(Title and name)	
FAX				E-mail address	

(Note1) When supplier's business category is "Trading company", please evaluate both your company and your supplier, and submit separate evaluations.

(Note2) For the Business category column, please fill in "O" on the left side of the applicable item. In the case of other items, please input specific information (service/software design, etc.) on the right side.

(Note3) We may ask you to provide us with evidence on the report.

Manufacturer	Supplier code	
Company name		
Location		
Head office address		

(1) Items related to External Certification

External certification refers to ISO14001 or the environmental management system in conformance with ISO such as Eco-action 21.

Evaluation item	YES/NO	Certification acquisition date (Last updated date) (YYYY/MM/DD)	Certification authority	Certification No.
We have obtained external certification.		()		
We have a plan to obtain external certification. (It has to be obtained within one year from the response date)		Planned evaluation date		

The certification authority has to be decided if you have a plan. (Enter "NO" if undecided.)

[Please attach a copy of certificate if it has been obtained]

(2) Items related to Green Procurement Activities

Evaluation item	YES	NO	Start date/Planned start date (YYYY/MM/DD)	Score
1. We understand the content of Green Procurement Guidelines.	10	0		
2. We have responded to the requirements of Green Procurement Guidelines.	10	0		
3. We have worked on biodiversity protection.	10	0		
4. We have implemented green procurement.	15	0		

Supplemental explanation: (2) Items related to Green Procurement Activities

- "Working on biodiversity protection" means that the supplier supports the purpose of the "Basic Act on Biodiversity (Act No. 58 of June 6, 2008)", and makes efforts for improvement of environmental influence such as energy consumption.
- "Implementing the green procurement activities" means that the supplier has given priority to business with clients who are engaged in environmental protection activities, and has also given priority to procurement items that are environmentally friendly.

(3) Management system for chemical substances in products

Evaluation item	YES	NO	Start date/Planned start date (YYYY/MM/DD)	Score
1. Based on environmental laws and regulations and customer requests (abolition term, etc.), we have documented the aims and abolition, reduction and substitution plans, etc. for the management of prohibited and controlled substances, and we have also promoted the activities.	5	0		
2. We have built and operated a mechanism that performs collection, transfer, management and directions, etc., of information about environment-related substances.	5	0		

Supplemental explanation: (3) Items related to Management system for chemical substances in products

- For No. 1 and 2 listed in the Management system for chemical substances in products, please refer to the latest "Guidelines on Chemical Substances Management in Products" issued by JAMP.

(4) Items related to Environmental Protection Activities (Entry is not required if you answered in the above (1) that external certification has been obtained)

Evaluation Item		YES	NO	Score
Environmental policy	1. We have a corporate philosophy regarding environmental protection.	5	0	
	2. We have an environmental basic policy which specifies the fundamental direction of environmental protection activities.	5	0	
	3. We have established an environmental policy, and are committed to continuous improvement and pollution prevention.	5	0	
	4. We are committed to complying with laws and regulations through environmental policy.	5	0	
	5. Our environmental policy has been documented, has been publicized to all employees, and is available to the general public.	5	0	
	6. We have reviewed the environmental policy periodically.	5	0	
Plan & organization	7. We have purposes and aims about the environment, and they have been documented.	5	0	
	8. We have established an action plan that defines responsibility, means, and schedules for achieving the purposes and aims.	5	0	
	9. We have defined an organization, persons in charge, their roles and authority for achieving the purposes and aims.	5	0	
Environmental aspects & system	10. We evaluate and manage environmental impacts for air pollution, and make efforts toward improvement.	5	0	
	11. We evaluate and manage environmental impacts for water pollution, and make efforts toward improvement.	5	0	
	12. We evaluate and manage environmental impacts for waste, and make efforts toward improvement.	5	0	
	13. We evaluate and manage environmental impacts for resource consumption, and make efforts toward improvement.	5	0	
	14. We evaluate and manage environmental impacts for energy consumption, and make efforts toward improvement.	5	0	
	15. We evaluate and manage environmental impacts for odor, noise and vibration, and makes effort toward improvement.	5	0	
	16. We have actively worked on improvement of delivery packing, reuse or recycling of packing, and efficiency improvement in transportation.	5	0	
	17. We have a product assessment mechanism.	5	0	
	18. We have an emergency mechanism.	5	0	
	19. We have a procedure for corrective and preventive measures to cope with non-conformity.	5	0	
Education & information disclosure	20. We have an internal audit mechanism concerning the environment.	5	0	
	21. We provide environmental education and training.	5	0	
	22. We provide separate and appropriate education and training for those engaged in work that could have a major impact on the environment, and we also control their participation.	5	0	
	23. We make our information on the environmental protection open to the public.	5	0	
(4) Total score				

Supplemental explanation: (4) Items related to Environmental Protection Activities

- Evaluation for (4) may be requested even if certification has been obtained.

(5) Rank Evaluation

Evaluation result		Score (total of (2) and (3) and (4))	Rank
Rank	Total score		
		170 points, or "YES for (1) Items related to External Certification	S
		155 to less than 170 points	A
		100 to less than 155 points	B
		50 to less than 100 points	C
		Less than 50 points	D

Toshiba Energy Systems & Solutions Corporation
Green Procurement Committee